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| APPLICATION NO.   | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|-------------|----------------------|---------------------|------------------|
| 09/552,345  | 04/19/2000  | Eugene Amdur         | DSC-001             | 3244             |
| 7733  | 7590        | 03/01/2006           | EXAMINER            |                  |
| WALKER & JOCKE, L.P.A.<br>231 SOUTH BROADWAY STREET<br>MEDINA, OH 44256 |             |                      | TRAN, ELLEN C       |                  |
|   |             |                      | ART UNIT            | PAPER NUMBER     |
|   |             |                      | 2134                |                  |
| DATE MAILED: 03/01/2006   |             |                      |                     |                  |

Please find below and/or attached an Office communication concerning this application or proceeding.

|                              |                                      |                                     |  |
|------------------------------|--------------------------------------|-------------------------------------|--|
| <b>Office Action Summary</b> | <b>Application No.</b><br>09/552,345 | <b>Applicant(s)</b><br>AMDUR ET AL. |  |
|                              | <b>Examiner</b><br>Ellen C. Tran     | <b>Art Unit</b><br>2134             |  |

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 20 December 2005.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 25-30, 45, 54 and 55 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 25-30, 45, 54 and 55 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

***DETAILED ACTION***

1. This action is responsive to communication: appeal brief filed 20 December 2005, with recognition of original filing date of 19 April 2000.
2. Claims 25-30, 45, 54, and 55 are currently pending in this application. Claims 25, 29, and 54 are independent claims.

**Response to Arguments**

3. In view of the appeal brief filed on 20 October 2004, PROSECUTION IS HEREBY REOPENED. New grounds of rejection are set forth below.

To avoid abandonment of the application, appellant must exercise one of the following two options:

- (1) file a reply under 37 CFR 1.111 (if this Office action is non-final) or a reply under 37 CFR 1.113 (if this Office action is final); or,
- (2) request reinstatement of the appeal.

If reinstatement of the appeal is requested, such request must be accompanied by a supplemental appeal brief, but no new amendments, affidavits (37 CFR 1.130, 1.131 or 1.132) or other evidence are permitted. See 37 CFR 1.193(b)(2).

Applicant's arguments, in the filed Appeal Brief on 20 December 2005 with respect to claims 25-30, 45, 54, and 55 have been considered but are moot in view of the new ground(s) of rejection. This office action is a Non-Final Rejection in order to applicant sufficient opportunity to respond to the new line of rejection.

***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 25, 26, 27, 29, 54, and 55 are rejected under 35 U.S.C. 103(a) as being unpatentable over Flint et al. U.S. Patent No. 6,453,419 (hereinafter '419) in further view of Freund U.S. Patent No. 5,987,611.

**As to independent claim 54, “A method for displaying access policies for a security service for a computer network”** is taught in '419 col. 2, lines 6-51 (Note this reference shows how the access policy is built in an graphical user interface (GUI) system);

**“services and resources”** is disclosed in '419 col. 4, lines 26-36;  
the following is not taught in '419:

**“the computer network comprising defined users”** however '611 teaches “The user is now ready to specify to which people and/or to which computers the new rule is to apply. As shown in FIG. 7F, the wizard dialog 740 (now 740d) includes a pane which allows the user to define a set which includes or excludes people, computers, and/or groups thereof. In a manner to that previously described for defining activities and for specifying applications, the pane includes an outline list 761 from which the user can select to include or exclude items” in 'col. 26, lines 18-30;

**“the method comprising the steps of displaying, on a computer display unit, a grid having nodes, laid out on a first and on a second axis; displaying, on the grid, unit user labels corresponding to the user data, each user label labeling nodes aligned relative to the first axis of the grid, and”** however ‘611 teaches “The client-side monitoring component provides a preferred user interface 600, as shown in FIG. 6A. The interface 600 serves to display the user's current Internet activity and/or past log. As illustrated, the interface 600 includes a main menu 601, a selection or tool bar 605, a Web applications panel 610, a contents panel 620, and a details panel 630. The tool bar 605 provides a display filtering mechanism, affecting the actual information displayed by the various panels. For instance, the user can employ the tool bar 605 for selecting what type of information to show (e.g., applications), which user the system should display information for (e.g., the current user or another named user), and what time frame is of interest to the user (e.g., "today"). Selection icons 640, positioned along one side of the interface 600, provide one-click access to user commands (which correspond to those available from the menu 601)” in col. 22, lines 44-59 and col. 7, lines 17-29 “The present invention, however, is not limited to any particular one application or any particular environment. Instead, those skilled in the art will find that the system and methods of the present invention may be advantageously applied to a variety of system and application software, including database management systems, word processors, spreadsheets, and the like, operating on a variety of different platforms, including the Macintosh.RTM. operating system, the UNIX.RTM. operating system, NextStep.RTM. operating system, and the like. Therefore, the description of the exemplary embodiments which follows is for purposes of illustration and not

limitation” (note: the GUI has a first and second axis this is inherent, the grid like appearance claimed is a common display in spreadsheet or database applications);

**“displaying on the grid resource labels corresponding to the services and resources data, each resource label labeling nodes aligned relative to the second axis of the grid, whereby the nodes in the grid correspond to access policies for the defined users and defined services and resources for the computer network, corresponding to the user and resource labels”** however ‘611 teaches “FIG. 6B illustrates appearance of the interface 600 (now 600a) during operation of a Web browser (e.g., Netscape Navigator.TM. or Microsoft Internet Explorer.TM. browser software). The applications panel 610 (now 610a) shows the currently-executing applications or processes. As shown at 611, current Web processes for this example include Internet Explorer. In the currently-preferred embodiment, processes are illustrated in an outline (hierarchical) view, with individual processes represented by nodes of the outline. Upon the user selecting to expand an application node (e.g., by clicking on node 611), the system, in response, displays dependent or child nodes representing protocols employed by that application. For the application node 611, for instance, the system displays child nodes 612” in col. 22, lines 60 through col. 23, line 23.

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify a security service for a computer network taught in ‘419 to include a means to configure and administer user policy. One of ordinary skill in the art would have been motivated to perform such a modification to increase security see ‘611 col. 3, lines 4 et seq. “There are still other disadvantages to centralized filtering. The approach is difficult to configure and administer. The task of setting up different rights for different users, workstations, or workgroups, for

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instance, is particularly difficult. No facilities are provided for delegating certain access and monitoring authority, for example, in order to allow a workgroup supervisor to manage less critical aspects of the Internet access for his or her group without going through a central authority. Also, a centralized filter cannot distinguish between "active" use of the Internet (i.e., when user interaction with the PC causes the Internet access) and "background" use (i.e., when an application accesses the Internet without user interaction). Still further, a centralized filter is easily circumvented, for example by a user employing a modem for establishing a dial-up connection to an ISP (Internet Service Provider). Similarly, the proxy-server approach is unattractive. Special versions or specialized configurations of client applications are required, thus complicating system administration. Internet setup for portable computers employed at remote locations is especially complicated".

**As to dependent claim 55**, this claim is directed to a program storage device performing the method of claim 54 and is therefore rejected along similar rationale.

**As to independent claim 25**, this claim is directed to a graphical user interface of the method of independent claim 54 and is therefore rejected along similar rationale.

**As to dependent claim 26**, "further comprising a user definition component for defining a business relationship tree data structure representing a set of the defined users and in which the user labels displayed by the graphical user interface correspond to the business relationship tree data structure" is taught in '419 col. 3, lines 31-47.

**As to dependent claim 27**, "further comprising a resource definition component for defining a resource tree data structure representing a set of the defined services and resources and in which the resource labels displayed by the graphical user interface

**correspond to the resource tree data structure**” is shown in ‘419 col. 3, line 61 through col. 4, line 7.

**As to independent claim 29, “A graphical user interface”** is disclosed in ‘419 col. 2, lines 6-51;

**“for a security service for a computer network”** is taught in ‘419 col. 2, lines 6-13;

**“the computer network comprising defined users represented by a business relationship tree data structure”** is shown in ‘419 col. 3, lines 31-47;

**“the computer network further comprising services and resources, represented by a resource tree data structure”** is disclosed in ‘419 col. 6, lines 25-37 (Also note the similarities between FIGS. 4-8 of ‘419 to FIG 10 of applicant’s invention.

**“the graphical user interface comprising display means for displaying a grid comprising nodes laid out on a first axis and on a second axis”** is shown in ‘611 col. 26, lines 18-30;

**“user labels corresponding to the users in the business relationship tree data structure, each user label labelling nodes aligned relative to the first axis of the grid”** is disclosed in ‘611 col. 22, lines 44-59 and col. 7, lines 17-29;

**“and resource labels corresponding to the defined services and resources in the resource tree data structure, each resource label labelling nodes aligned relative to the second axis of the grid, the nodes in the grid corresponding to access policies for the defined users and defined services and resources, corresponding to the user and resource labels”** is taught in ‘611 col. 22, line 60 through col. 23, line 23.



6. Claims 25, 26, 27, 29, 54, and 55 are rejected under 35 U.S.C. 102(b) as being anticipated by Flint et al. U.S. Patent No. 6,453,419 (hereinafter '419).

**As to dependent claim 28, the following is not taught in '419 and '611 “further comprising an access policy editor for defining the nodes in the grid, the access policy editor comprising means for graphically assembling icons representing policy rules to define an access policy for a user-specified node”** however '261 teaches “The administrator can define a security policy once and apply it to a plurality of network devices. To accomplish this, the administrator prepares a symbolic policy and saves it persistently using a unique name. The name of the policy and an icon representing the policy are displayed in a tree in a pane of a user interface generated by the mechanism. The physical network available to the administrator is displayed as a separate tree of icons that represent network objects. The administrator moves the mouse cursor to the previously defined policy, clicks and holds down a mouse button, and drags the icon representing the policy over an icon representing a network object. When the administrator releases the mouse button, the policy is applied to the network object. In this manner, policies can be dragged and applied to NT domains, users, groups, individual machines, or to arbitrary groups of machines residing in defined physical or logical networks” in col. 14, lines 36-52.

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify a security service for a computer network taught in '419 and '611 to include a means to graphically design the user interface. One of ordinary skill in the art would have been motivated to perform such a modification to customize the display screen and therefore increase user flexibility see '261 col. 4, lines 38-44 “There is also a need for a way to construct a

representation of a network security policy in which the representation is easily correlated with the policy. There is a particular need for such a mechanism that does not require the administrator to have knowledge about low-level network protocol details and about the particular network protocols that are used by application programs”.

**As to dependent claim 30, “the grid comprising inheriting nodes and defining nodes, the defining nodes corresponding to access policies expressly defined by a policy manager, the graphical user interface further comprising means for displaying inherited access policies for inheriting nodes in the grid by propagating access policies from the defining nodes in the grid across the inheriting nodes below the defining nodes in each of the business relationship tree data structure and the resource tree data structure”** is shown in ‘261 col. 13, lines 37-50 “Thereafter, administrators can reference the network objects in the Networks tree 720 when developing security policies. For example, the administrator can prepare a security policy that accepts or rejects a data packet depending on whether the destination of the packet is the software engineering group 726, the marketing group 728, or one of the hosts 730 within a group. Accordingly, the security policies are kept simple because, rather than incorporating the network-specific information, the security policies inherit knowledge about the network from the Networks tree 720. Further, a security policy may be attached to a group of objects rather than only to a single object”.

**As to dependent claim 45,** this claim is directed to a program storage device performing the method of claims 25, 26, and 30; therefore it is rejected along similar rationale.

### **Conclusion**

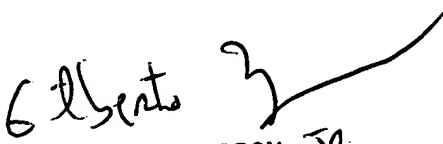
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7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ellen C Tran whose telephone number is (571) 272-3842. The examiner can normally be reached from 6:00 am to 2:30 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on (571) 272-3799. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

*Ellen. Tran*  
*Patent Examiner*  
*Technology Center 2134*  
23 February 2006

  
GILBERTO BARRON JR.  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100